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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | | | |
|------------------------------------|------------------------------|--|-----------------------------|
| SERIAL NUMBER 09/526,100 | FILING DATE 15 MARCH 2000 | FIRST NAMED INVENTOR SHEPPARD JC 89 | ATTY. DKT. NO. 6019.3026 |
| TITLE OPTICAL CONVERSION DEVICE | | ART UNIT UNKNOWN | EXAMINER UNKNOWN |

Assistant Commissioner for Patents
Washington, D.C. 20231

TRANSMITTAL

Enclosed for filing are the following papers:

| | |
|---|---|
| <input type="checkbox"/> Fee Transmittal Form | <input type="checkbox"/> Check for \$ |
| <input type="checkbox"/> Amendment / Response | <input type="checkbox"/> After Final |
| <input type="checkbox"/> Petition for Extension of Time | |
| <input checked="" type="checkbox"/> Information Disclosure Statement | <input checked="" type="checkbox"/> Form PTO-1449 |
| <input type="checkbox"/> Notice to File Missing Parts of Application/Incomplete Application | |
| <input type="checkbox"/> Express Mail Certificate | |
| <input type="checkbox"/> Other: | |

Remarks:

Dated: 4/12/00

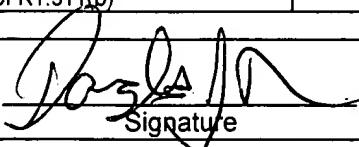
J.P. Blasko Prof. Corp.
107 North Broad Street
Doylestown, PA 18901
(215) 348-7775

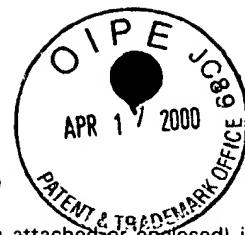


Signature

Douglas J. Ryder, Reg. No. 43,073

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| FEE TRANSMITTAL | | | | |
|---|---|---|------------------------|--|
| SERIAL NUMBER UNKNOWN | FILING DATE UNKNOWN | FIRST NAMED INVENTOR SHEPPARD / | | ATTY. DKT. NO. 6019.3026 |
| TITLE OPTICAL CONVERSION DEVICE | | ART UNIT UNKNOWN | | EXAMINER UNKNOWN |
| FEE CALCULATION (fees effective 3/15/00) | | | | |
| 1. FILING FEE | | 2. CLAIMS | | |
| Large Entity Fee Code | Small Entity Fee Code | Fee Description | Amount | Previous Paid |
| <input type="checkbox"/> 101 | <input checked="" type="checkbox"/> 201 | Utility filing | 690.00 | 45 - 20 = 25 |
| <input type="checkbox"/> 106 | <input type="checkbox"/> 206 | Design filing fee | | 25 x 18.00 = 450.00 |
| <input type="checkbox"/> 107 | <input type="checkbox"/> 207 | Plant filing fee | | Independent Claims 8 - 3 = 5 x 78.00 = 390.00 |
| <input type="checkbox"/> 108 | <input type="checkbox"/> 208 | Reissue filing fee | | <input type="checkbox"/> Multiple Dependent Claims |
| SUBTOTAL (1) \$ 690.00 | | | SUBTOTAL (2) \$ 840.00 | |
| 3. ADDITIONAL FEES | | | | |
| Large Entity Fee Code | Small Entity Fee Code | Fee Description | Amount | |
| <input type="checkbox"/> 105 | <input type="checkbox"/> 205 | Surcharge-late filing fee or oath | | |
| <input type="checkbox"/> 139 | <input type="checkbox"/> 139 | Non-English specification | | |
| <input type="checkbox"/> 147 | <input type="checkbox"/> 147 | for filing a Request for Reexamination | | |
| <input type="checkbox"/> 112 | <input type="checkbox"/> 112 | Requesting publication of SIR prior to Examiner Action | | |
| <input type="checkbox"/> 113 | <input type="checkbox"/> 113 | Requesting publication of SIR after Examiner Action | | |
| <input type="checkbox"/> 115 | <input type="checkbox"/> 215 | Extension for response within first month | | |
| <input type="checkbox"/> 116 | <input type="checkbox"/> 216 | Extension for response within second month | | |
| <input type="checkbox"/> 117 | <input type="checkbox"/> 217 | Extension for response within third month | | |
| <input type="checkbox"/> 118 | <input type="checkbox"/> 218 | Extension for response within fourth month | | |
| <input type="checkbox"/> 119 | <input type="checkbox"/> 219 | Notice of Appeal | | |
| <input type="checkbox"/> 120 | <input type="checkbox"/> 220 | Filing a brief in support of an appeal | | |
| <input type="checkbox"/> 121 | <input type="checkbox"/> 221 | Request for oral hearing | | |
| <input type="checkbox"/> 138 | <input type="checkbox"/> 138 | Petition to institute a public use proceeding | | |
| <input type="checkbox"/> 140 | <input type="checkbox"/> 240 | Petition to revive unavoidably abandoned application | | |
| <input type="checkbox"/> 141 | <input type="checkbox"/> 241 | Petition to revive unintentionally abandoned application | | |
| <input type="checkbox"/> 142 | <input type="checkbox"/> 242 | Utility issue fee (or reissue) | | |
| <input type="checkbox"/> 143 | <input type="checkbox"/> 243 | Design issue fee | | |
| <input type="checkbox"/> 144 | <input type="checkbox"/> 244 | Plant issue fee | | |
| <input type="checkbox"/> 122 | <input type="checkbox"/> 122 | Petitions to the Commissioner | | |
| <input type="checkbox"/> 126 | <input type="checkbox"/> 126 | Submission of Information Disclosure Statement | | |
| <input type="checkbox"/> 581 | <input type="checkbox"/> 581 | Recording each patent assignment per property | | |
| <input type="checkbox"/> 114 | <input type="checkbox"/> 214 | Provisional Application filing | | |
| Other fee (specify) | | | | |
| Other fee (specify) | | | | |
| SUBTOTAL (3) \$ 0.00 | | | | |
| METHOD OF PAYMENT (check one) | | | | |
| TOTAL AMOUNT OF PAYMENT \$ 1530.00 | | | | |
| <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account Number: 14-0791 Deposit Account Name: NEXT LEVEL COMMUNICATIONS | | <input type="checkbox"/> Payment Enclosed: <input type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other: | | Office use only: |
| <input type="checkbox"/> Charge any Additional Fee Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Charge the Issue Fee set in 37 CFR 1.18 at the Mailing of the Notice of Allowance. 37 CFR 1.311(b) | | | | |
| SUBMITTED BY | | | | |
| Douglas J. Ryder | |  Signature | | 3/15/00 Date |
| | | | | 43,073 Reg. Number |

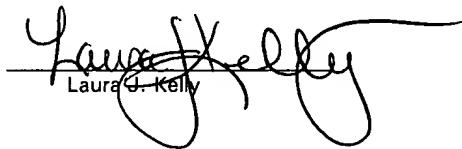


CERTIFICATE OF MAILING (37 CFR 1.8(A))

PATENT

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231.

Date: 12 April 2000


Laura J. Kelly

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | | | |
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| TITLE OPTICAL CONVERSION DEVICE | | ART UNIT UNKNOWN | EXAMINER UNKNOWN |

Assistant Commissioner for Patents
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

In accordance with the provisions of 37 C.F.R. §1.97, Applicants hereby wish to make of record the references listed on the accompanying PTO Form 1449 for consideration by the Examiner in the examination of the above-identified patent application. Copies of the patent documents are enclosed.

This Information Disclosure Statement is being submitted:

- (1) within three (3) months of the filing date, entry into national phase in an international application or before the mailing date of the First Office Action; or
- (2) after the period defined in (1) above but before the mailing date of a Final Rejection or Notice of Allowance, and
 - Certification is made below, or
 - The check, or authorization to charge deposit account, in the amount of the fee set forth by 37 C.F.R. §1.17(p) is attached.
- (3) after the mailing date of a Final Rejection or Notice of Allowance but before the payment of the Issue Fee, and
 - Applicant hereby Petitions the Commissioner to consider the attached references; Certification is made below and the fee is included.

Attached hereto is Form PTO-1449 listing documents believed to be relevant to the above-captioned application. It is respectfully requested that these documents be considered by the Examiner. The relevance of each non-English document will be discussed as follows:

REMARKS:

None.

This disclosure statement should not be construed as a representation that a search has been made or that no other material information as defined in 37 C.F.R. § 1.56(a) exists.

It is believed that this disclosure complies with the requirements of 37 C.F.R. §§ 1.56, 1.97, and 1.98, and the Manual of Patent Examining Procedures § 609. If for some reason the Examiner considers otherwise, it is requested that the undersigned be contacted by telephone promptly so that any deficiency can be remedied.

Some of the documents may have markings thereon. No significance is intended to be attached to the markings.

The submission of these documents is not intended to be deemed an admission that they constitute analogous art.

CERTIFICATION

Applicant(s) certify that:

(1) Each item or reference was cited in a communication from a foreign patent office in a corresponding foreign application not more than three months prior to the filing date of the Statement; or

(2) No item or reference was cited in a communication from a foreign patent office in a corresponding foreign application or, to the knowledge of the Applicant(s), was known more than three months prior to the filing of the Statement.

Respectfully submitted,



Douglas J. Ryder
Reg. No. 43,073

Date: 4/12/00

J.P. Blasko Prof. Corp.
107 North Broad Street
Doylestown, PA 18901
(215) 348-7775